

(1390 REV. 5-93) US DEPT. OF COMMERCE PATENT & TRADEMARK OFFICE TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371		ATTORNEY'S DOCKET NUMBER 109667 09/937623 U.S. APPLICATION NO. (if known, sec 37 C.F.R.1.5) 09/937,623
INTERNATIONAL APPLICATION NO. PCT/JP01/00571	INTERNATIONAL FILING DATE January 26, 2001	PRIORITY DATE CLAIMED January 28, 2000
TITLE OF INVENTION FINGERPRINT IMAGE EVALUATION METHOD AND FINGERPRINT VERIFICATION DEVICE		
APPLICANT(S) FOR DO/EO/US Noriyuki MATSUMOTO, Hideyo TAKEUCHI		
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:		
1. <input type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.		
2. <input checked="" type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.		
3. <input type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).		
4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.		
5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ul style="list-style-type: none"> a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> has been transmitted by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US) 		
6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).		
7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ul style="list-style-type: none"> a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> have been transmitted by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input type="checkbox"/> have not been made and will not be made. 		
8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).		
9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).		
10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).		
Items 11. to 16. below concern other document(s) or information included:		
11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.		
12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.		
13. <input checked="" type="checkbox"/> A FIRST preliminary amendment.		
<input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.		
14. <input type="checkbox"/> A substitute specification.		
15. <input type="checkbox"/> Entitlement to small entity status is hereby asserted.		
16. <input type="checkbox"/> Other items or information:		

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5) 09/937,623	INTERNATIONAL APPLICATION NO. PCT/JP01/000571	ATTORNEY'S DOCKET NUMBER 109667
---	---	---------------------------------

17. <input checked="" type="checkbox"/> The following fees are submitted: Basic National fee (37 CFR 1.492(a)(1)-(5)): Search Report has been prepared by the EPO or JPO\$890.00 International preliminary examination fee paid to USPTO (37 CFR1.482)\$710.00 No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2))\$740.00 Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO\$1,040.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4)\$ 100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =	CALCULATIONS	PTO USE ONLY																																																						
Surcharge of \$130.00 for furnishing the oath or declaration later than <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).	\$																																																							
<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <th style="width:20%;">Claims</th> <th style="width:20%;">Number Filed</th> <th style="width:10%;">Number Extra</th> <th style="width:10%;">Rate</th> <th style="width:10%;"></th> <th style="width:10%;"></th> </tr> <tr> <td>Total Claims</td> <td>16 - 20 =</td> <td>0</td> <td>X \$ 18.00</td> <td>\$</td> <td></td> </tr> <tr> <td>Independent Claims</td> <td>6 - 3 =</td> <td>3</td> <td>X \$ 84.00</td> <td>\$252.00</td> <td></td> </tr> <tr> <td colspan="3">Multiple dependent claim(s)(if applicable)</td> <td>+ \$280.00</td> <td>\$</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL OF ABOVE CALCULATIONS =</td> <td>\$382.00</td> <td></td> </tr> <tr> <td colspan="4">Reduction by 1/2 for filing by small entity, if applicable.</td> <td style="text-align: center;">-</td> <td>\$</td> </tr> <tr> <td colspan="4" style="text-align: right;">SUBTOTAL =</td> <td>\$382.00</td> <td></td> </tr> <tr> <td colspan="4"> Processing fee of \$130.00 for furnishing the English translation later than <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 month from the earliest claimed priority date (37 CFR 1.492(f)). </td> <td style="text-align: center;">+</td> <td>\$130.00</td> </tr> <tr> <td colspan="4" style="text-align: right;">TOTAL NATIONAL FEE =</td> <td>\$512.00</td> <td></td> </tr> </table>	Claims	Number Filed	Number Extra	Rate			Total Claims	16 - 20 =	0	X \$ 18.00	\$		Independent Claims	6 - 3 =	3	X \$ 84.00	\$252.00		Multiple dependent claim(s)(if applicable)			+ \$280.00	\$		TOTAL OF ABOVE CALCULATIONS =				\$382.00		Reduction by 1/2 for filing by small entity, if applicable.				-	\$	SUBTOTAL =				\$382.00		Processing fee of \$130.00 for furnishing the English translation later than <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 month from the earliest claimed priority date (37 CFR 1.492(f)).				+	\$130.00	TOTAL NATIONAL FEE =				\$512.00			
Claims	Number Filed	Number Extra	Rate																																																					
Total Claims	16 - 20 =	0	X \$ 18.00	\$																																																				
Independent Claims	6 - 3 =	3	X \$ 84.00	\$252.00																																																				
Multiple dependent claim(s)(if applicable)			+ \$280.00	\$																																																				
TOTAL OF ABOVE CALCULATIONS =				\$382.00																																																				
Reduction by 1/2 for filing by small entity, if applicable.				-	\$																																																			
SUBTOTAL =				\$382.00																																																				
Processing fee of \$130.00 for furnishing the English translation later than <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 month from the earliest claimed priority date (37 CFR 1.492(f)).				+	\$130.00																																																			
TOTAL NATIONAL FEE =				\$512.00																																																				
01/03/2002 MNGUYEN 00000046 09937623 <table style="width:100%;"> <tr> <td style="width:30%;">01 FC:154</td> <td style="width:30%; text-align: right;">130.00 OP</td> <td style="width:40%;"></td> </tr> <tr> <td>02 FC:964</td> <td style="text-align: right;">252.00 OP</td> <td></td> </tr> <tr> <td>03 FC:156</td> <td style="text-align: right;">130.00 OP</td> <td></td> </tr> </table>	01 FC:154	130.00 OP		02 FC:964	252.00 OP		03 FC:156	130.00 OP		Amount to be refunded	\$																																													
01 FC:154	130.00 OP																																																							
02 FC:964	252.00 OP																																																							
03 FC:156	130.00 OP																																																							
	Charged	\$																																																						

a. <input checked="" type="checkbox"/> Check No. <u>126433</u> in the amount of <u>\$512.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. <u>15-0461</u> . A duplicate copy of this sheet is enclosed.	<div style="text-align: center;"> NAME: James A. Off REGISTRATION NUMBER: 27,075 </div> <div style="text-align: center; margin-top: 20px;"> NAME: Joel S. Armstrong REGISTRATION NUMBER: 36,430 </div>
--	--

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:
 OLIFF & BERRIDGE, PLC
 P.O. Box 19928
 Alexandria, Virginia 22320

Date: December 28, 2001

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Noriyuki MATSUMOTO et al.

Attn: PCT Branch

Application No.: 09/937,623

Filed: December 28, 2001

Docket No.: 109667

For: FINGERPRINT IMAGE EVALUATION METHOD AND FINGERPRINT
VERIFICATION DEVICE

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS
UNDER 35 U.S.C 371 IN THE UNITED STATES DESIGNATED/
ELECTED OFFICE (DO/EO/US) WITH DECLARATION AND
TRANSLATION OF THE APPLICATION**

Director of the U.S. Patent and Trademark Office
Washington, D.C. 20231

Sir:

In response to the Notification of Missing Requirements Under 35 U.S.C 371 in the United States Designated/Elected Office (DO/EO/US) (copy attached) mailed on November 1, 2001, submitted herewith is the executed Declaration of the inventors and an accurate translation of the application. Any specification attached to and referenced in the Declaration is a copy of the specification and any amendments thereto which were filed in the Office in order to obtain a filing date for the application.

	(Column 1)	(Column 2)	(Column 3)	SMALL ENTITY			OTHER THAN A SMALL ENTITY	
	CLAIMS REMAINING AFTER TRANSLATION	HIGHEST NO. PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADD'L FEE	OR	RATE	ADD'L FEE
TOTAL CLAIMS	*16 MINUS	**20	=0	x 9	\$		x 18	\$
INDEP CLAIMS	*6 MINUS	***3	=3	x 42	\$		x 84	\$ 252
<input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEP. CLAIM				+ 140	\$	OR	+280	\$
					\$			\$

* If the entry in Column 1 is less than the entry in Column 2, write "0" in Column 3.

** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.

*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space.

The "Highest Number Previously Paid For" in this space (Total or Independent) is the highest number found from the equivalent box in Column 1 of a prior Amendment or the number of claims originally filed.

Attached is our Check No. 126433 in the amount of \$512.00 for the ☒\$260.00 ☐\$195.00 (entitlement to small entity status is asserted) fee under 37 C.F.R. §§ 1.492(e) and (f) and any excess claim fees noted above.

Entry of these documents should complete all of the filing formalities and fully satisfy all requirements of the Notification of Missing Requirements. Accordingly, prompt issuance of a Notification of Acceptance and Official Filing Receipt, and prompt examination and allowance of this application are respectfully solicited.

The Director is hereby authorized to charge any additional fee (or credit any overpayment) associated with this communication to Deposit Account No. 15-0461. Two duplicate copies of this paper are attached.

Respectfully submitted,



James A. Oliff
Registration No. 27,075

Joel S. Armstrong
Registration No. 36,430

JAO:JSA/zmc

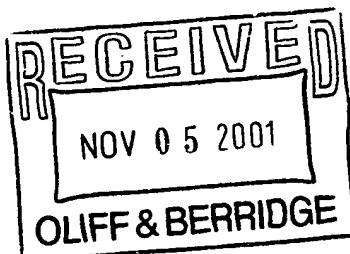
Date: December 28, 2001

OLIFF & BERRIDGE, PLC
P.O. Box 19928
Alexandria, Virginia 22320
Telephone: (703) 836-6400

<p>DEPOSIT ACCOUNT USE AUTHORIZATION Please grant any extension necessary for entry; Charge any fee due to our Deposit Account No. 15-0461</p>
--

<input type="checkbox"/> Consideration For Payment, See PCT, United States Patent and Trademark Office, Washington, D.C. 22214, www.uspto.gov		
U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/937,623	Noriyuki Matsumoto	109667

Oliff & Berridge
P.O. Box 19928
Alexandria, VA 22320



INTERNATIONAL APPLICATION NO.	
PCT/JP01/00571	
I.A. FILING DATE	PRIORITY DATE
01/26/2001	01/28/2000

CONFIRMATION NO. 2068
371 FORMALITIES LETTER



OC000000006983663

January 1, 2002
Missing Requirements

Date Mailed: 11/01/2001

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated Office (37 CFR 1.494):

- U.S. Basic National Fees
- Priority Document
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Request for Immediate Examination

DOCKETED
By PAR on 11/5 2001
and
By MP on 11/5 2001
Oliff & Berridge

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Translation of the application into English.
- Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 months from the priority date (37 CFR 1.492(f)).
- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 20 months from the priority date (37 CFR 1.492(e)) is required.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL

RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$260** for a Large Entity:

- **\$130** Late oath or declaration Surcharge.
- **\$130** for English translation surcharge required.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

WINSTON M ALVARADO

Telephone: (703) 305-6421

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
09/937,623	PCT/JP01/00571	109667

09/937623

1/4

PCT REQUEST

K00-359

Original (for SUBMISSION) - printed on 28.12.2001 01:41:37 PM

0	For receiving Office use only	
0-1	International Application No.	
0-2	International Filing Date	
0-3	Name of receiving Office and "PCT International Application"	
0-4	Form - PCT/RO/101 PCT Request	
0-4-1	Prepared using	PCT-EASY Version 2.91 (updated 01.01.2001)
0-5	Petition The undersigned requests that the present international application be processed according to the Patent Cooperation Treaty	
0-6	Receiving Office (specified by the applicant)	Japanese Patent Office (RO/JP)
0-7	Applicant's or agent's file reference	K00-359
I	Title of invention	FINGERPRINT IMAGE EVALUATION METHOD AND FINGERPRINT VERIFICATION DEVICE
II	Applicant	
II-1	This person is:	applicant only
II-2	Applicant for	all designated States except US
II-4	Name	CHUO HATSUJO KABUSHIKI KAISHA
II-5	Address:	68, Aza-Kamishioda, Narumi-cho, Midori-ku, Nagoya-shi, Aichi 458-0835 Japan
II-6	State of nationality	JP
II-7	State of residence	JP
II-8	Telephone No.	052-623-1111
II-9	Facsimile No.	052-624-5717
III-1	Applicant and/or inventor	
III-1-1	This person is:	applicant and inventor
III-1-2	Applicant for	US only
III-1-4	Name (LAST, First)	MATSUMOTO, Noriyuki
III-1-5	Address:	c/o CHUO HATSUJO KABUSHIKI KAISHA 68, Aza-Kamishiota, Narumi-cho, Midori-ku, Nagoya-shi, Aichi 458-0835 Japan
III-1-6	State of nationality	JP
III-1-7	State of residence	JP

PCT REQUEST

K00-359

Original (for SUBMISSION) - printed on 28.12.2001 01:41:37 PM

III-2	Applicant and/or inventor	
III-2-1	This person is:	applicant and inventor
III-2-2	Applicant for	US only
III-2-4	Name (LAST, First)	TAKEUCHI, Hideyo
III-2-5	Address:	c/o CHUO HATSUJO KABUSHIKI KAISHA 68, Aza-Kamishiota, Narumi-cho, Midori-ku, Nagoya-shi, Aichi 458-0835 Japan
III-2-6	State of nationality	JP
III-2-7	State of residence	JP
IV-1	Agent or common representative; or address for correspondence The person identified below is hereby/has been appointed to act on behalf of the applicant(s) before the competent International Authorities as:	agent
IV-1-1	Name (LAST, First)	KODAMA, Hideo
IV-1-2	Address:	Nihon Dantai Seimei Bldg 8F 24-8, Meieki 4-chome, Nakamura-ku, Nagoya-shi, Aichi 450-0002 Japan
IV-1-3	Telephone No.	052-588-3361
IV-1-4	Facsimile No.	052-551-2033
IV-2	Additional agent(s)	additional agent(s) with same address as first named agent
IV-2-1	Name(s)	MURASE, Hiroaki; ABE, Makoto; SUZUKI, Tomoya
V	Designation of States	
V-1	Regional Patent (other kinds of protection or treatment, if any, are specified between parentheses after the designation(s) concerned)	--
V-2	National Patent (other kinds of protection or treatment, if any, are specified between parentheses after the designation(s) concerned)	JP US
V-5	Precautionary Designation Statement In addition to the designations made under items V-1, V-2 and V-3, the applicant also makes under Rule 4.9(b) all designations which would be permitted under the PCT except any designation(s) of the State(s) indicated under item V-6 below. The applicant declares that those additional designations are subject to confirmation and that any designation which is not confirmed before the expiration of 15 months from the priority date is to be regarded as withdrawn by the applicant at the expiration of that time limit.	

PCT REQUEST

K00-359

Original (for SUBMISSION) - printed on 28.12.2001 01:41:37 PM

V-6	Exclusion(s) from precautionary designations	NONE	
VI-1	Priority claim of earlier national application		
VI-1-1	Filing date	28 January 2000 (28.01.2000)	
VI-1-2	Number	2000-20019	
VI-1-3	Country	JP	
VI-2	Priority document request The receiving Office is requested to prepare and transmit to the International Bureau a certified copy of the earlier application(s) identified above as item(s):	VI-1	
VII-1	International Searching Authority Chosen	Japanese Patent Office (JPO) (ISA/JP)	
VIII	Check list	number of sheets	electronic file(s) attached
VIII-1	Request	4	-
VIII-2	Description	37	-
VIII-3	Claims	4	-
VIII-4	Abstract	1	-
VIII-5	Drawings	25	-
VIII-7	TOTAL	71	
	Accompanying items	paper document(s) attached	electronic file(s) attached
VIII-8	Fee calculation sheet	✓	-
VIII-16	PCT-EASY diskette	-	diskette
VIII-18	Figure of the drawings which should accompany the abstract	10	
VIII-19	Language of filing of the international application	Japanese	
IX	Signature of applicant or agent		
IX-1	Name (LAST, First)		
IX-2	Capacity		

FOR RECEIVING OFFICE USE ONLY

10-1	Date of actual receipt of the purported international application	
10-2	Drawings:	
10-2-1	Received	
10-2-2	Not received	
10-3	Corrected date of actual receipt due to later but timely received papers or drawings completing the purported international application	
10-4	Date of timely receipt of the required corrections under PCT Article 11(2)	
10-5	International Searching Authority	ISA/JP
10-6	Transmittal of search copy delayed until search fee is paid	

PCT REQUEST

K00-359

Original (for SUBMISSION) - printed on 28.12.2001 01:41:37 PM

FOR INTERNATIONAL BUREAU USE ONLY

11-1	Date of receipt of the record copy by the International Bureau	
------	---	--